

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 1 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

---

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

---

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
____ 1	US3867728	2/25/1975	Stubstad; James A.
____ 2	US3875595	4/8/1975	Froning; Edward C.
____ 3	US4309777	1/12/1982	Patil; Arun A.
____ 4	US4714469	12/22/1987	Kenna; Robert V.
____ 5	US4863476	9/5/1989	Shepperd; John A. N.
____ 6	US4863477	9/5/1989	Monson; Gary L.
____ 7	US4874389	10/17/1989	Downey; Ernest L.
____ 8	US4911718	3/27/1990	Lee; Casey K.
____ 9	US4946378	8/7/1990	Hirayama; Yasuhiko
____ 10	US4997432	3/5/1991	Keller; Arnold
____ 11	US5002576	3/26/1991	Fuhrmann; Gerhard
____ 12	US5071437	12/10/1991	Steffee, Arthur D.
____ 13	US5123926	6/23/1992	Pisharodi; Madhavan
____ 14	US5258031	11/2/1993	Salib; Richard M.
____ 15	US5306308	4/26/1994	Gross; Ulrich
____ 16	US5314477	5/24/1994	Marnay; Thierry
____ 17	US5350644	9/27/1994	Graetzel; Michael

---

Examiner:

Date Considered:

---

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

---

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 2 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
____ 18	US5370697	12/6/1994	Baumgartner; Walter
____ 19	US5401269	3/28/1995	Buttner-Janz; Karin
____ 20	US5458642	10/17/1995	Beer; John C.
____ 21	US5507816	4/16/1996	Bullivant; Michael
____ 22	US5534029	7/9/1996	Shima; Toshio
____ 23	US5534030	7/9/1996	Navarro; Richard R.
____ 24	US5556431	9/17/1996	Buttner-Janz; Karin
____ 25	US5645596	7/8/1997	Kim; Phyo
____ 26	US5674294	10/7/1997	Bainville; Daniel
____ 27	US5676701	10/14/1997	Yuan; Hansen A.
____ 28	US5676702	10/14/1997	Ratron; Yves-Alain
____ 29	US5683465	11/4/1997	Shinn; Gary Lee
____ 30	US5702450	12/30/1997	Bisserie; Michel
____ 31	US5755796	5/26/1998	Ibo; Ivo
____ 32	US5824094	10/20/1998	Serhan; Hassan
____ 33	US5827328	10/27/1998	Buttermann; Glenn R.
____ 34	US5865846	2/2/1999	Bryan; Vincent
____ 35	US5888226	3/30/1999	Rogozinski; Chaim

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 3 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
____ 36	US5893889	4/13/1999	Harrington; Michael
____ 37	US5895428	4/20/1999	Berry; Don
____ 38	US5898428	4/27/1999	Zimlich; David A.
____ 39	US5899941	5/4/1999	Nishijima; Yuichiro
____ 40	US5919235	7/6/1999	Husson; Jean-Louis
____ 41	US5928284	7/27/1999	Mehdizadeh; Hamid M.
____ 42	US5989291	11/23/1999	Ralph; James D.
____ 43	US6001130	12/14/1999	Bryan; Vincent
____ 44	US6019792	2/1/2000	Cauthen; Joseph C.
____ 45	US6039763	3/21/2000	Shelokov; Alexis P.
____ 46	US6051751	4/18/2000	Sioshansi; Piran
____ 47	US6063121	5/16/2000	Xavier; Ravi
____ 48	US6066174	5/23/2000	Farris; Robert A.
____ 49	US6113637	9/5/2000	Gill; Steven S.
____ 50	US6136031	10/24/2000	Middleton; Lance M.
____ 51	US6146421	11/14/2000	Gordon; Dennis P.
____ 52	US6146422	11/14/2000	Lawson; Kevin Jon
____ 53	US6179874	1/30/2001	Cauthen; Joseph C.

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 4 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
____ 54	US6368350	4/9/2002	Erickson; Richard A.
____ 55	US6375682	4/23/2002	Fleischmann; Lewis W.
____ 56	US6402785	6/11/2002	Zdeblick; Thomas A.
____ 57	US6416551	7/9/2002	Keller; Arnold
____ 58	US6468310	10/22/2002	Ralph; James D.
____ 59	US6478800	11/12/2002	Fraser; Robert D.
____ 60	US6517580	2/11/2003	Ramadan; Aymen
____ 61	US6520996	2/18/2003	Manasas; Mark
____ 62	US6527804	3/4/2003	Gauchet; Fabien
____ 63	US6562045	5/13/2003	Gil; Carlos
____ 64	US6579320	6/17/2003	Gauchet; Fabien
____ 65	US6579321	6/17/2003	Gordon; Jeffrey D.
____ 66	US6592624	7/15/2003	Fraser; Robert D.
____ 67	US6599320	7/29/2003	Kuslich; Stephen D.
____ 68	US6610093	8/26/2003	Pisharodi; Madhavan
____ 69	US6626943	9/30/2003	Eberlein; Robert
____ 70	US6652533	11/25/2003	O'Neil; Michael J.
____ 71	US6669730	12/30/2003	Ralph; James D.

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 5 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

---

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
____ 72	US6682562	1/27/2004	Viart; Guy
____ 73	US6706068	3/16/2004	Ferree; Bret A.
____ 74	US6709439	3/23/2004	Rogers; Christopher
____ 75	US6726720	4/27/2004	Ross; Raymond
____ 76	US6740118	5/25/2004	Eisermann; Lukas
____ 77	US6749635	6/15/2004	Bryan; Vincent
____ 78	US6761723	7/13/2004	Buttermann; Glenn Robin
____ 79	US6770094	8/3/2004	Fehling; Gerald
____ 80	US6770095	8/3/2004	Grinberg; Alexander
____ 81	US6793678	9/21/2004	Hawkins; John Riley
____ 82	US6881228	4/19/2005	Zdeblick; Thomas A.
____ 83	US6899735	5/31/2005	Coates; Bradley J.
____ 84	US6908484	6/21/2005	Zubok; Rafail
____ 85	US6936071	8/30/2005	Marnay; Thierry
____ 86	US6949105	9/27/2005	Bryan; Vincent
____ 87	US6960232	11/1/2005	Lyons; Matthew
____ 88	US6964686	11/15/2005	Gordon; Jeffrey D.
____ 89	US6966929	11/22/2005	Mitchell; Steve

---

Examiner:

Date Considered:

---

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 6 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
____ 90	US6976988	12/20/2005	Ralph; James D.
____ 91	US6986789	1/17/2006	Schultz; Robert
____ 92	US6989032	1/24/2006	Errico; Joseph P.
____ 93	US6994727	2/7/2006	Khandkar; Ashok C
____ 94	US7001432	2/21/2006	Keller; Arnold
____ 95	US7001433	2/21/2006	Songer; Matthew N.
____ 96	US7025787	4/11/2006	Bryan; Vincent
____ 97	US7048764	5/23/2006	Ferree; Bret A.
____ 98	US7048766	5/23/2006	Ferree; Bret A.
____ 99	US7056344	6/6/2006	Huppert; Jean
____ 100	US7060097	6/13/2006	Fraser; Robert
____ 101	US7060099	6/13/2006	Carli; Olivier
____ 102	US7066961	6/27/2006	Michelson; Gary Karlin
____ 103	US7101400	9/5/2006	Thramann; Jeffrey
____ 104	US7105024	9/12/2006	Richelsoph; Marc
____ 105	US7118580	10/10/2006	Beyersdorff; Boris
____ 106	US7147665	12/12/2006	Bryan; Vincent
____ 107	US7153325	12/26/2006	Kim; Daniel H.

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 7 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
_____ 108	US7156848	1/2/2007	Ferree; Bret A.
_____ 109	US7156876	1/2/2007	Moumene; Missoum
_____ 110	US7166131	1/23/2007	Studer; Armin
_____ 111	US7179294	2/20/2007	Eisermann; Lukas
_____ 112	US7201776	4/10/2007	Ferree; Bret A.
_____ 113	US7204852	4/17/2007	Marnay; Theirry
_____ 114	US7217291	5/15/2007	Zucherman; James F
_____ 115	US7226452	6/5/2007	Zubok; Rafail
_____ 116	US7235101	6/26/2007	Berry; Bret M.
_____ 117	US7244275	7/17/2007	Michelson; Gary K.
_____ 118	US7255714	8/14/2007	Malek; Michel H.
_____ 119	US7267691	9/11/2007	Keller; Arnold
_____ 120	US7276082	10/2/2007	Zdeblick; Thomas A
_____ 121	US7291171	11/6/2007	Ferree; Bret A.
_____ 122	US2002035400A1	3/21/2002	Bryan, Vincent
_____ 123	US2004153157A1	8/5/2004	Keller, Arnold
_____ 124	US2004158328A1	8/12/2004	Eisermann, Lukas
_____ 125	US2004243240A1	12/2/2004	Beaurain, Jacques

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 8 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

---

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue/Publication Date</u>	<u>Name</u>
_____ 126	US2005015152A1	1/20/2005	Sweeney, Patrick J.
_____ 127	US2005113926A1	5/26/2005	Zucherman; James F.
_____ 128	US2005216086A1	9/29/2005	Marik; Greg
_____ 129	US2006030862A1	2/9/2006	De Villiers; Malan
_____ 130	US2006052872A1	3/9/2006	Studer; Armin
_____ 131	US2006136061A1	6/22/2006	Navarro; Richard R
_____ 132	US2007198093A1	8/23/2007	Brodke; Darrel S.
_____ 133	US2007225812A1	9/27/2007	Gill; Steven Streatfield

---

Examiner:

Date Considered:

---

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/



Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 9 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

---

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>	<u>Translation</u>
____ 134	WO09526697A1	10/12/1995	WIPO	N/A
____ 135	WO04064692A2	8/5/2004	WIPO	N/A
____ 136	WO04089259A1	10/21/2004	WIPO	N/A
____ 137	WO05039455A1	5/6/2005	WIPO	N/A
____ 138	WO05046534A1	5/26/2005	WIPO	N/A
____ 139	WO05053580A1	6/16/2005	WIPO	N/A
____ 140	WO07063398A2	6/7/2007	WIPO	N/A
____ 141	EP042271A1	12/23/1981	EPO	N/A
____ 142	EP176728A1	4/9/1986	German	Abstract
____ 143	EP282161A1	9/14/1988	EPO	N/A
____ 144	EP298233A1	1/11/1989	German	Abstract

---

Examiner:

Date Considered:

---

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/

Receipt date: 12/04/2008

10590139 - GAU: 3738

Form Equivalent To PTO-1449

Sheet 10 of 10

Applicant: Neil Duggal, et al.

Serial No.: 10/590,139

Docket No. HO-P03203US0

Filing Date: 2/11/2008

Group:

For: ARTIFICIAL SPINAL DISC

---

Other Documents

(including author, title, pertinent pages, etc.)

Examiner

Initial\*

\_\_\_\_\_ 145      #####

**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

K:\Intellectual Property\IDS citation.doc

---

Examiner: /Bruce Snow/

Date Considered:

03/10/2010

---

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /BS/